

Summary of Changes

to

P 473.1-1B

Issuance and Control of Security Badges and Access Cards

Revised Version Issued as P 473.1-1C of 9/8/04

NETL Procedure 473.1-1B, Issuance and Control of Security Badges and Access Cards, of 4/28/03, has undergone revisions. Revisions include changing the Safeguard and Security Officer title to Facility Security Officer. Other changes were to make the Procedure consistent with other Security directives and minor changes for clarity. Please replace NETL Procedure 473.1-1B with NETL Procedure 473.1-1C.

The most recent and official controlled hard copy version of this directive resides with NETL's Directives Coordinator. An electronic version of the controlled directive has been placed on the NETL Intranet for employee use. Printed hard copies of this electronic version are considered noncontrolled documents.

U.S. Department of Energy

National Energy Technology Laboratory

PROCEDURE

P 473.1-1C

DATE: 9/8/04

SUBJECT: ISSUANCE AND CONTROL OF SECURITY BADGES AND ACCESS CARDS

1. PURPOSE. This document assigns responsibilities, authorities, and defines the process for the issuance, use, and control of security badges and electronic gate access cards.
2. CANCELLATION. NETL Procedure 473.1-1B, Issuance and Control of Security Badges and Access Cards, of 4/28/03.
3. REFERENCES.
 - a. DOE Order 473.1, [Physical Protection Program](#).
 - b. DOE Manual 473.1-1, [Physical Protection Program Manual](#).
 - c. NETL Order 472.1, [Personnel Security Activities](#).
 - d. NETL Procedure 470.1-1, [Safeguards and Security Awareness Program](#).
 - e. DOE Form 5631.29, [Security Termination Statement](#).
 - f. DOE Form 5632.15, [Request for Lost/Stolen Badge Replacement](#).
 - g. SF 312, [Classified Information Nondisclosure Agreement](#).
 - h. 1-9 DOJ/NS, Employment Eligibility Verification form.
4. DEFINITIONS. None.
5. QUALITY CONTROL. This Procedure will be modified on an as-needed basis. NETL badges shall conform with the specifications for the standard badge format as set forth in the DOE Manual 473.1-1, Physical Protection Program Manual. Specific badge design information is to be treated as Official Use Only information and is not contained in this Procedure.

INITIATED BY: Office of Institutional and Business Operations
NO. OF PAGES: 10 pages

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6. RESPONSIBILITIES.a. NETL Facility Security Officer (FSO) shall:

- (1) Act as the cognizant NETL authority for the issuance of security badges.
- (2) Manage the implementation of the badge program consistent with this document and other applicable DOE directives.
- (3) Update this Procedure as needed and provide for management review and approval.

b. NETL Security Contractor shall:

- (1) Issue security badges in accordance with this Procedure and as otherwise directed by the NETL FSO.
- (2) The NETL Security Contractor shall maintain an inventory of badges. Proactively pursue return of any overdue badges (e.g., visitor badges, foreign national badges, temporary badges).
- (3) The NETL Security Contractor shall document a process for generating and managing the disposition of all badges issued at NETL and maintain a badge inventory. The process shall address serial number generation and technical standards for the badges. Also, at a minimum, the inventory shall record the serial number, date of issuance, employees name, employer, type of security clearance and date of issuance, return, loss, and destruction. The document shall be submitted for review and approval by the NETL FSO.
- (4) Provide an annual badge accountability report to the NETL Facility Security Officer (NETL FSO).

c. Employees and visitors shall:

- (1) Display the security badge clearly per the requirements of this Procedure while on NETL sites.
- (2) Utilize badges for official security purposes only.
- (3) Abide by all conditions required for issuance of the security badge, maintain the badge in good condition, and report any change (i.e., name change) including physical (i.e., beard, facial scars) which would require the issuance of new badge to accurately depict their identification.

- (4) Report the loss, theft, or misuse of a security badge to the NETL Security contractor within 24 hours.
- (5) Take prompt action to replace a security badge that is faded, worn, or damaged in any way that would hinder recognition or would facilitate alteration of the badge.
- (6) Return badges to the issuing Security Office when they are no longer required in the performance of their official duties.

7. TRAINING REQUIREMENTS.

- a. Security training requirements for NETL employees are addressed in NETL Procedure 470.1-1, Safeguards and Security Awareness Program. Initial security training is required prior to issuance of permanent DOE security badges.
- b. Security contractor personnel involved in issuance and control of NETL badges shall be trained in accordance with the NETL FSO approved training program for security officers.

8. DOCUMENT CONTROL. Inventory documentation shall be maintained in accordance with the requirements of Schedule 18, Item 25 of the General Records Schedule.

9. PROCEDURE.

a. General Requirements

- (1) Security badges shall be worn at all times while on the site. The badge shall be worn on the front side of the body, picture side facing forward, in full view, on the outermost garment, above the waist. Exceptions: The following areas have been designated as locations where security badges are not required when taking part in the associated activity: Pittsburgh exercise facility, sports fields, Morgantown exercise facility, daycare facility, picnic pavilion, and machine shop. Also this requirement does not apply when conducting activities that would either severely damage the badge or present a risk to the person's safety, such as welding operations. In these cases the person should ensure the badge is readily available at their location and produce the badge if challenged. Additional locations can be considered by contacting the NETL FSO.
- (2) NETL employees shall present security badges for inspection to the NETL Security Officer manning the vehicle entrance to gain entrance to the site, and at any time requested by NETL Security. NETL employees can challenge other persons on the NETL site to produce their badge when not displayed per Item 1 above. In the event the person cannot produce the badge, the employee should notify Security immediately and proceed as directed by the Security Office.

- (3) In the event an employee has forgotten his/her badge, the employee shall, upon entering the site, report directly to NETL Security to obtain a temporary security badge.
- (4) If the badge is reported as lost or stolen, the employee will complete the Request for Lost/Stolen Badge Replacement Form, DOE F 5632.15.

All lost, stolen, or misused badges must be reported to the NETL Security contractor within 24 hours of loss. The temporary security badge must be returned to the issuing NETL Security Office upon issuance of a new picture badge or when the forgotten/lost badge is found. In instances of lost or missing badges, a new badge normally will not be issued for 10 working days.

Only one temporary badge will be issued to an employee at any time. Additional issuance of temporary badges must be approved by the NETL FSO.

Employees using a temporary badge to gain entry to the site must also produce valid photo identification or they will have to travel to the Security Office for verification with the identification database.

The loss of more than two badges over a 1 year period will be reported to the employee's supervisor for possible disciplinary action in accordance with the DOE Workforce Discipline Policy.

- (5) If a badge that was reported as lost is found after a new replacement badge has been issued, the old badge should be returned the Security contractor for final disposition.
- (6) Security badges shall be used for official use only (i.e., as required to perform duties as assigned by NETL Management).
- (7) When leaving the site, the security badge should be removed from view and not displayed in public.
- (8) All security badges are Government property and must be returned to the NETL Security Office in accordance with the specific requirements for each badge type as defined in this Procedure.
- (9) Alteration or misuse of badges is a violation of U.S. Code, Title 18, Sections 499 and 701. Employees will be subject to disciplinary action for security infractions with respect to the misuse of NETL security badge or failure to comply with the requirements of this Procedure.
- (10) The Office of Science common badge shall not be used for access to NETL facilities.

- (11) Entry to NETL facilities does not imply access to NETL information or the computer systems.
- (12) Badges shall be replaced if a significant facial appearance takes place; name change occurs; or the security badge is worn, faded, or damaged. The NETL Security contractor and NETL Facility Security Officers are authorized to confiscate security badges and coordinate the disposition and replacement of the badges.

c. Recovery and Destruction of Security Badges

- (1) Recovery of Security Badges -- Security badges are the property of the Government and must be returned to the NETL Security Office whenever an individual is transferred, terminated, or otherwise no longer requires the badge.
- (2) Badge Destruction -- The NETL Facility Security Officer shall prescribe procedures for destroying security badges that are no longer needed. Destruction shall be accomplished by the NETL Security contractor in a manner to preclude reconstruction of a badge. If destruction is not immediate, used badges shall be stored in a secure manner until destroyed. Provisional and site-specific badges that do not include individuals' photos shall be recovered and reissued.

d. Types of Security Badges

- (1) Standard Employee Badges (Building Access Only [BAO]) -- Employee badges are the standard badge type that will be issued to DOE Federal and DOE contractor employees.
 - (a) The badge shall be issued to permanent employees that require long-term unescorted routine access to NETL facilities. Typically to be issued an employee badge, the employee must at a minimum require access to the site three times per week for at least three consecutive months.
 - (b) All NETL non-Federal employees are required to present an 1-9 DOJ/INS Employment Eligibility Verification Form to the Security Office before they will be issued a permanent employee badge. A copy of the form will be kept in the badging file.
 - (c) In addition to the required training, DOE Federal and contractor employees must be entered into the NETL Employee Tracking System before a badge will be issued. In doing this, the contractor is certifying that pre-employment checks were conducted in accordance with company policy and DOE directives, that the pre-employment checks were favorable, and that the employee was found to be suitable for employment. The contractor also certifies they will ensure the badge is returned by the

employee when access is no longer needed, such as reassignment, retirement, or termination.

- (d) A DOE standard badge format shall be used at NETL sites.
 - (e) Included with the standard information contained on all badges, contractor badges shall also portray the company affiliation of the employee in a location, style, and size of type as defined by NETL Management.
- (2) Access Authorizations Employee Badges (“Q” and “L” Badges) -- This type of DOE Security badge will be issued to DOE Federal and DOE contractor employees with security clearances.
- (a) Issuance of this type of badge must have prior written approval from the NETL FSO and requires the person to successfully complete the process described in NETL Order 472.1, Personnel Security Activities.
 - (b) Prior to issuance of a badge, the employee must complete the required security briefing and complete Form SF 312. These tasks shall be completed at the NETL Security Office.
 - (c) Employees must return “Q” and “L” badges to the Security Office upon termination or when no longer needing access authorization and complete the required termination briefing and complete SF 312, Classified Information Nondisclosure Agreement, and DOE Form 5631.29, Security Termination Statement.
- (3) Temporary Employee Badges -- Temporary employee badges are to be issued to employees who lose or forget their standard employee badge. This badge allows the person unescorted access. Temporary badges will be the same access level as the person’s normal badge, such as BAO, L, Q.
- (a) This badge will be issued as a temporary replacement for a lost or forgotten badge.
 - (b) Employees shall obtain temporary badges from the NETL Security Office. Employees will be required to present identification to be issued a temporary badge. Identification will also be needed to enter an NETL site using a temporary badge. The Security Office will verify the person’s employment status, identification, and level of access authorization by comparison with the Employee Tracking System and the badge database.
 - (c) Employees shall return the badge to the NETL Security Office where it was issued when the reason for its issuance is corrected.

- (d) A temporary badge cannot be used to gain entry into the NETL site without additional identification.
- (4) Temporary Contractor Badges -- A temporary contractor badge will be issued to U.S. citizen contractors working on a temporary, infrequent, or unpredictable basis at NETL.
- (a) Prior to issuance of a temporary contractor badge, an NETL employee must provide written authorization to the NETL Security Office (and the DOE COR if applicable). The written approval shall include company name of the recipient, project name, unescorted access areas where the work is to be performed, duration of required access, and approximate work schedule (e.g., normal working hours, evenings, weekends). The NETL Security contractor can issue temporary contractor badges for delivery purposes without written authorization.
 - (b) Temporary contractors shall return the badge to the issuing location when departing the site.
 - (c) Temporary contractor badge grants to the bearer unescorted access to the common areas of the site as specified in the Visitor Control Procedure (NETL Procedure 473.1-4) and the general areas required to complete their work functions. An NETL employee escort is otherwise required.
- (5) Visitor Badges -- Visitor badges will be issued to U.S. citizens that require short-term escorted access to the NETL site.
- (a) Visitor badges shall be issued by the NETL Security Office or the NETL Receptionist.
 - (b) Visitors shall be escorted at all times by an NETL employee (i.e., NETL host) in accordance with the Visitor Control Procedure (NETL Procedure 473.1-4).
 - (c) Visitor badges must be returned to the NETL Security Office or the NETL Receptionist upon departure from the NETL site.
 - (d) Visitor badges may not be used to gain unescorted entry to the NETL site. It can be used for escorted travel between the plateaus at the Pittsburgh facility.
 - (e) Visitor badges shall have a black outline on the periphery of the badge and a large black V in the picture location.

- (6) Uncleared Foreign National (FN) Assignee Badges -- This is a specific type of pictured badge issued to foreign nationals on assignment at NETL. The badge is easily identified by the bold red outline on the periphery of the picture.
- (a) Foreign National Assignees must present the I-9 Form as part of the FN Assignment process, therefore they will not need to present it to Security.
 - (b) FN assignee badges shall be issued by the NETL Security Office after approval of the assignment by the FN Visit and Assignments Manager.
 - (c) FN assignees shall have unescorted access to the NETL site as defined in their Specific Security Plan per NETL Procedure 142.1-1.
 - (d) FN assignee badges shall be issued and returned on a daily basis to the applicable NETL Security Office (FN assignee badges shall be issued only during normal business hours, 7:30 a.m. to 5:00 p.m., on normal business days). FN assignee badges shall be returned to the issuing office no later than 5:00 p.m. each day. For time periods outside of those stated, the host or alternate host must be on site and escorting the assignee. Exceptions to this must be arranged by the host in the Specific Security Plan. Violations of this may result in revocation of assignment or disciplinary action for the host.
 - (e) The badge shall clearly display the expiration date of the assignment and the NETL site specific to the assignment. The format for a Pittsburgh assignment shall be PMM/DD/YY (e.g., P01/17/04). The format for a Morgantown assignment shall be MMM/DD/YY (e.g., M01/17/04). FN assignee badges shall be issued to a FN assignee for a maximum of 1 year and a minimum of 30 days.
- (7) Uncleared Foreign National (FN Visitor Badges) -- This is a specific type of non-picture visitor badge issued to foreign nationals visiting at NETL. The badge is easily identified by the red outline on the periphery of the badge and a large black V in the picture location.
- (a) FN visitor badges shall be issued by the NETL Security Office upon approval of the visit/assignment by the FN Visit and Assignments Manager.
 - (b) FN visitors must be escorted at all times while on the NETL site or as applicable as defined in their Specific Security Plan. Violations of this may result in revocation of assignment or disciplinary action for the host.
 - (c) FN visitor badges cannot be used to gain entry into the NETL site.

- (8) Conference Badges -- Conference badges are a specific design and style of badge issued to conference attendees.
 - (a) Conference badges are issued by Conference Services to officially registered attendees.
 - (b) The badges are intended to be single use and valid for access to NETL for the period of time established for the conference.
 - (c) Conference badges will allow for limited access to areas within NETL as defined by the Visitor Control Procedure.
 - (d) Conference badges are required to identify foreign national attendees as a foreign national. This shall be done by using a red outline on the badge. The words Foreign National shall also be placed on the badge in black lettering.

e. Electronic Gate Access Cards

- (1) Electronic gate access cards will be issued upon request to NETL employees that have been issued a DOE badge consistent with other NETL procedures governing access control to the NETL facilities.
- (2) Electronic gate access cards shall be issued through the Security Office in B-7 in Morgantown and B-923 in Pittsburgh for the respective sites. A separate card is required for each site.
- (3) The access control system in Morgantown is set up to limit access to specific areas of the site (e.g., child care parents [that are not DOE employees], cards will only permit access through Vehicle Gate 2). NETL employees (with DOE badges) will be authorized with unlimited access to the perimeter access point on the site. Electronic access to other areas (e.g., the computer center) must be requested and approved through the **FSO**.
- (4) Employees are required to report lost access cards immediately to the Security Office.
- (5) Employees are required to return access cards to the Security Office upon leaving the employment of NETL. Employees may also choose to return cards to NETL Security at any time during their employment at NETL.
- (6) Employees are not authorized to share their access cards with other employees.
- (7) Employees are not authorized to use their access cards to allow other employees or non-employees to gain access to the site.

- (8) Employees are authorized to use their badges to allow registered visitors to gain re-entry to the NETL sites during normal business hours. Visitors must be escorted after gaining access to the site (via the employee) in accordance with procedure s governing visitor control.
- (9) Electronic gate access cards (with limited access authorization) will also be issued to child care parents through the child care facility. The child care shall maintain an inventory of all cards and cardholders, report the inventory on a quarterly basis to the NETL Security Office, and recover cards from parents that no longer patronize the child care facility.

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